

Lynn Wenger

**The Compliance Alliance
President & Founder**



Ronnae Williams

**State Lady &
Culturally Yours Consulting**



Compliance Without Chaos

Staying Inspection Ready

Prepared for Playground

*How to Run a Best in Class
Child Care Program Series*

CULTURALLY
Yours
CONSULTING AND TRAINING

 **THE
COMPLIANCE
ALLIANCE**
ECE EXPERTS || BUSINESS ALLIES

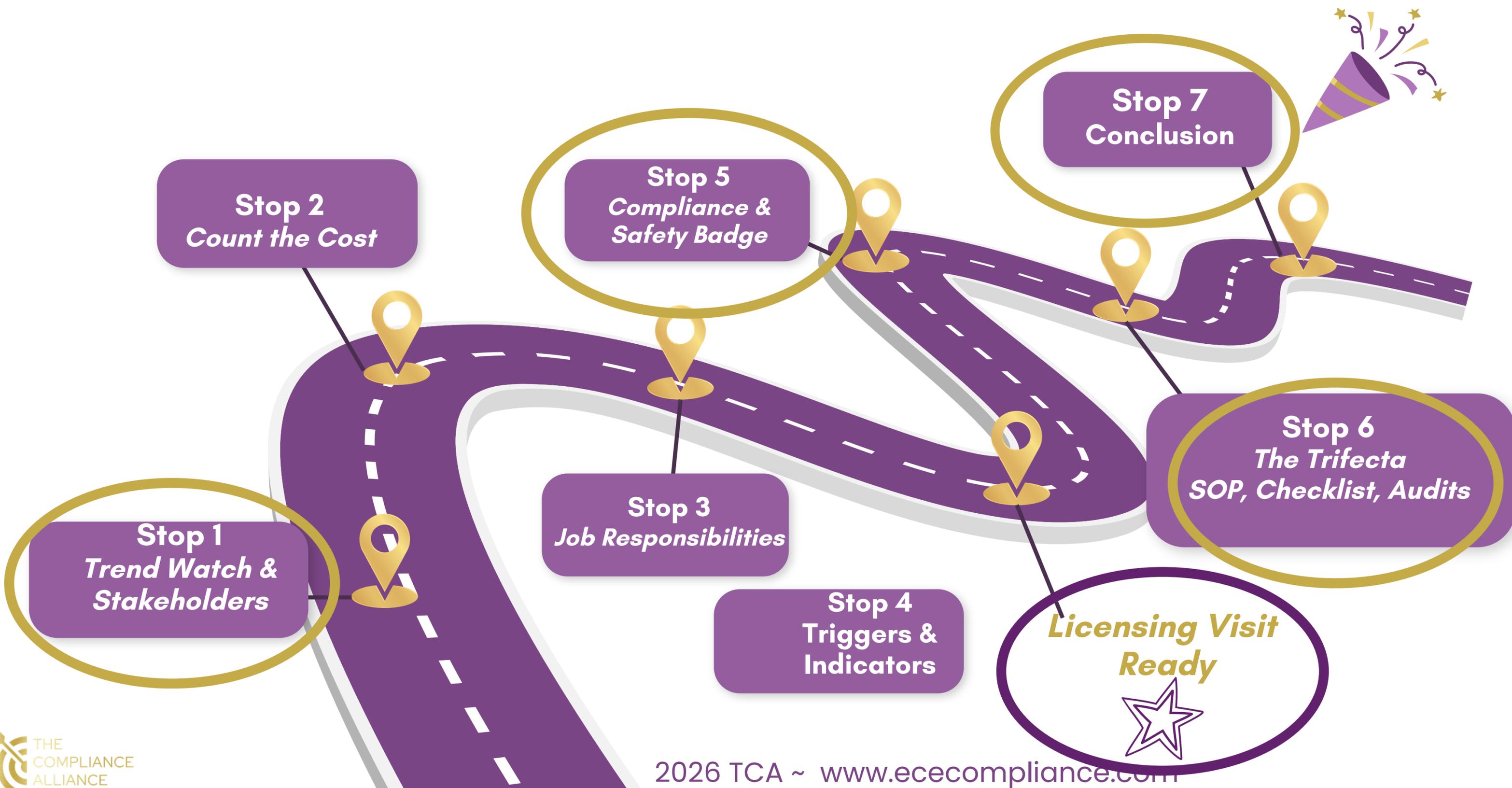
Making Compliance Visible ~ *Trust Grows Where Proof Shows*

In this session, we cover:

- ✓ ***Compliance Shift***
Why Now? Trends to Track
- ✓ ***Making Compliance Visible***
Trust Grows Where Proof Shows
- ✓ ***Feature: TCA Business Ally – State Lady***
- ✓ ***The 3 to Succeed: Compliance Framework***
SOP, Checklists & Audits



Compliance Roadmap - Making the Invisible Visible



☰ Poll

Your Compliance System

Do you have a defined compliance framework with roles and responsibilities in place?

- ✅ *Yes – clear set of processes, clear roles and a system of audits & accountability*
- ⚙️ *Somewhat – we manage it informally but have begun to systemetize it over the past year*
- 🧩 *Not yet formalized – we touch on it in during training, but do not have system in place*
- 🤔 *Honestly... it feels intimidating or overwhelming, unsure how to implement compliance as a practice*

ECE COMPLIANCE STAKEHOLDERS



Compliance Trends *In The News*



-  Benchmark Study Signals Compliance Priority
-  Insurance Premiums & Eligibility Requirements
-  Fraud = Increased Scrutiny
-  Investor Due Diligence Intensity
-  AI Enters the Compliance Conversation

Compliance & Risk Management – Common Terms



Compliance Framework & Risk Management

*“A **compliance framework** is a repeatable **system** that translates rules into daily behavior and **corrects risk** before harm occurs.*

It defines how decisions are made when the rules aren't perfectly clear. “

*Jessica Hobbs, Framework Architect
The Compliance Alliance*



Main Components of Risk Management



Risk Management – Assessing the Risk

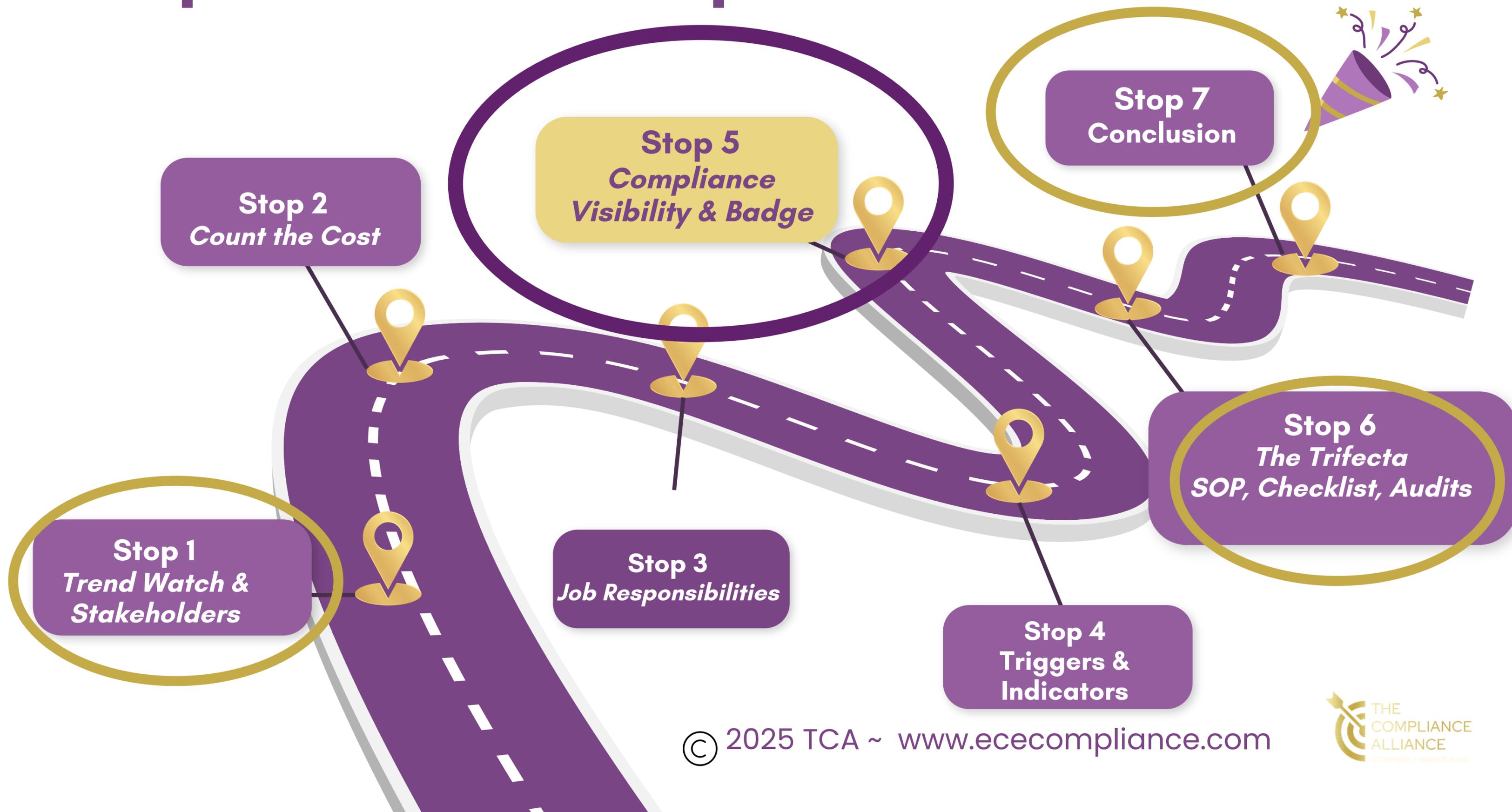


Known Risks – Questions to ask

- **Severity:** how serious could the risk be?
- **People Impact:** what is the potential harm? (children, staff)
- **Rank:** what is the relative risk (H, M, L)
- **Probability:** how likely is it to occur?
- **Financial Impact:** what is my financial exposure

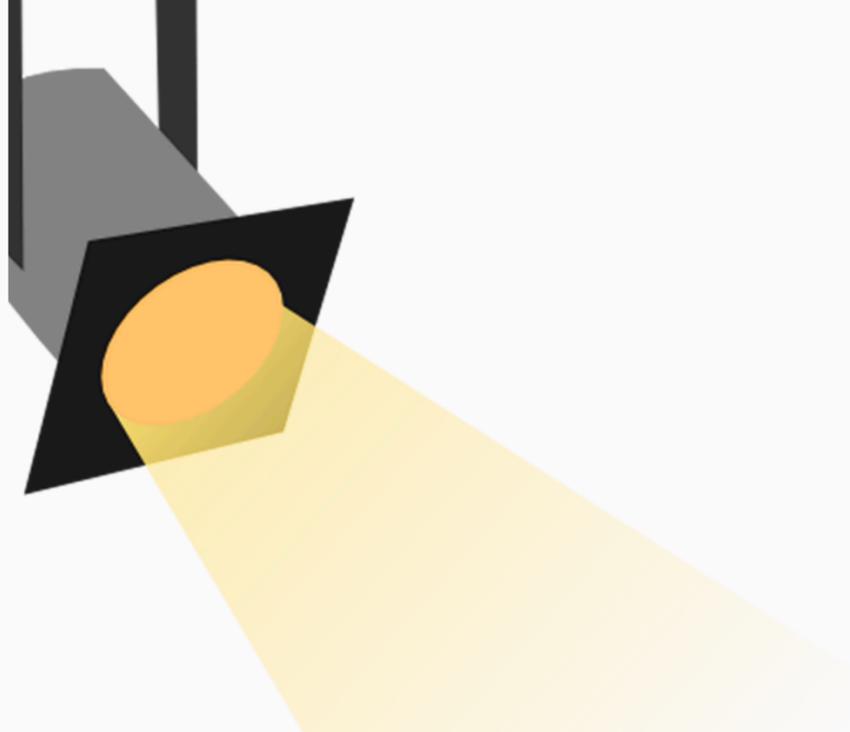
1	Risk Category	Example Risks	Risk Level (H/M/L)	Likelihood (1-5)	Impact (1-5)
2	Supervision & Staff Practices	Unattended children, ratios, distracted supervision			
3	Medication & Allergies	allergies, medication errors, proper handling			
4	Physical Environment	Trip hazards, unsafe playgrounds, fire safety issues			
5	Behavior Management	Improper Discipline, lack of behavior documentation			
6	Emergency Preparedness	outdated emergency plans, poor staff training			
7	Facility & Equipment Maintenance	Broken furniture, poor cleaning			
8	Transportation & Field Trips	Improper car seat use, missing driver checks, name-face			
9	Staffing & Child Records	Incomplete background checks, expired certifications			
10	Communication & Documentation	Missing incident reports, poor parent communication			
11	Security & Safety	Unlocked doors, no visitor log, missing			

Compliance Roadmap

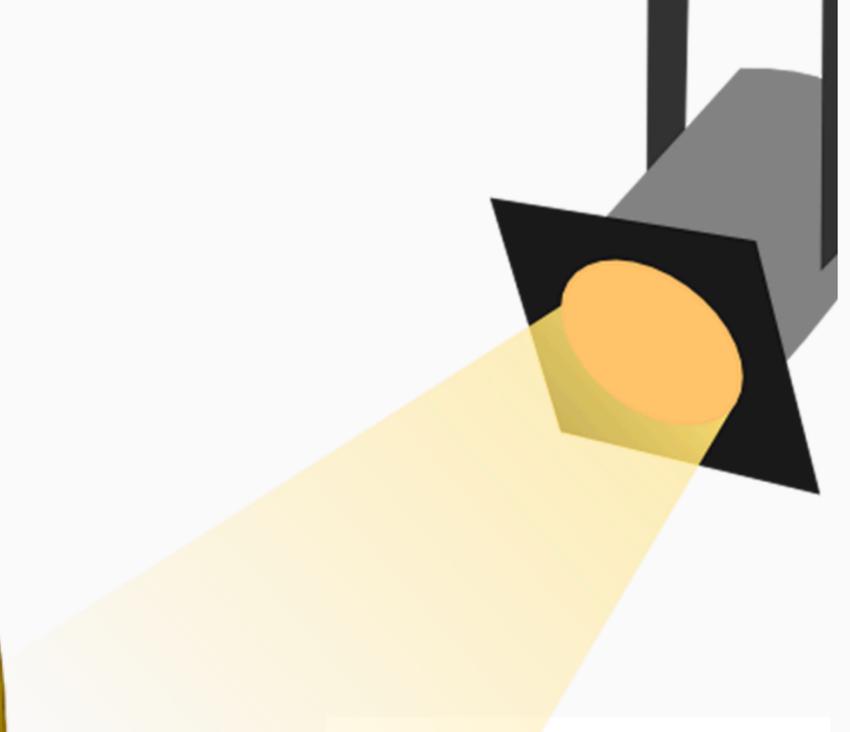


Trust Grows Where Proof Shows – remember stakeholders





JOHN DEERE



THE RITZ-CARLTON



FOUR SEASONS
Hotels and Resorts

Making the Invisible Visible: Safety Message



Trust Grows Where Proof Shows

Website Health Check

How easy is it to find your safety commitment?

Safety Message Visibility

● High – dedicated safety page

● Moderate – clear safety page but not on landing page/first screen

● Low – in parent handbook PDF

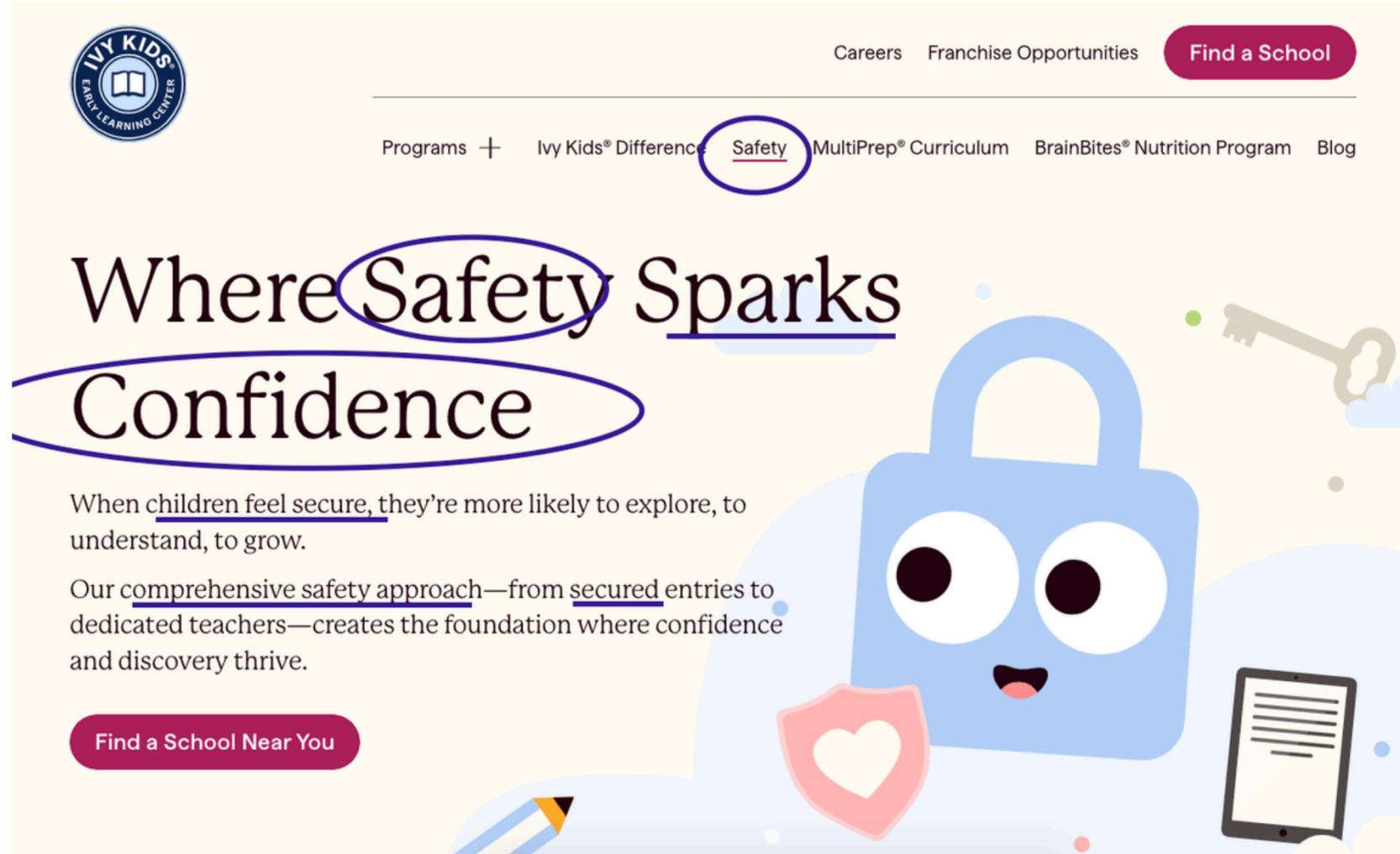
Effort Required to Find Safety Info

● Minimal – one click from menu or on landing page

● Moderate – navigation, have to go look for it

● Hard – download/open and read long docs

Making the Invisible Visible: Safety Message



The screenshot shows the Ivy Kids website header with the logo on the left and navigation links for 'Careers', 'Franchise Opportunities', and 'Find a School'. Below the header, a menu lists 'Programs', 'Ivy Kids® Differences', 'Safety', 'MultiPrep® Curriculum', 'BrainBites® Nutrition Program', and 'Blog'. The 'Safety' link is circled in blue. The main content area features the headline 'Where Safety Sparks Confidence' with 'Safety' and 'Confidence' circled in blue. Below the headline, there are two paragraphs of text and a 'Find a School Near You' button. The background illustration includes a blue padlock character, a key, a shield, and a tablet.

IVY KIDS
EARLY LEARNING CENTER

Careers Franchise Opportunities Find a School

Programs + Ivy Kids® Differences **Safety** MultiPrep® Curriculum BrainBites® Nutrition Program Blog

Where **Safety** Sparks Confidence

When children feel secure, they're more likely to explore, to understand, to grow.

Our comprehensive safety approach—from secured entries to dedicated teachers—creates the foundation where confidence and discovery thrive.

Find a School Near You

Low student-to-teacher ratios

Daily safety assessments

Rigorous safety protocols, including regular emergency preparedness drills

Structured routines

Timely parent communication

Strong safety culture

Shout out – Ivy Kids – Trust Grows Where Proof Shows

Making the Invisible Visible: Inspections & Training



Trust Grows Where Proof Shows

Making the Invisible Visible: Inspection Visit

 Kids World Learning Center is with Statesboro Fire Department. ...
January 28 at 10:53 AM · 🌐

Great news! 🎉

Kids World Learning Center passed our Statesboro Fire Inspection this morning ✅

Safety is always our priority and we work hard to follow all codes and procedures to keep our children and team protected every day. ❤️ 🚒



Making the Invisible Visible:

Mock Inspection Visit

I spy The State Lady!



Thrive Early Learning
February 28, 2025

🎉👂🌱❤️ We recognize the importance of visits from our state licensing agency and are excited each time they show up (usually unannounced)! Really! we value them so much that today we had a special guest conduct a mock visit.

👂❤️🙏 A huge thank you to [Ronnae Williams](#) who is absolutely incredible! At the end of the day, she provided a comprehensive 2-hour training on State Regulations and Compliance. The Thrivers all demonstrated exceptional professionalism (as usual!) and appreciated the refresher! 🥰

We were also spoiled with a delicious meal by Chef Gabe! Burritos, veggies, street corn and deliciousness for the Thrivers! ❤️🙏👂🌱



Making the Invisible Visible: Training



Gabrielle Wheeler is with Summer Picha and Teri DeLuca.

November 12, 2025

🌟 Professional Development Day: Safety & Risk Management at East Gate Kids 🌟

Yesterday, our amazing team came together for a full day of professional development focused on Safety and Managing Risk in Early Childcare Settings.

Our teachers were fully engaged and present as we learned about the 12 key risks to manage in early childhood environments. One of our East Gate parents, a former medic, shared a powerful session on allergies including what severe nut reactions can look like—and gave every staff member hands-on training on how to use an EpiPen.

Big Blue Marble Academy - Commitment to Safety

“At Big Blue Marble Academy, we care for your children as our own — **making their safety and well being the heart of everything we do.** We are committed to providing a safe, nurturing, and enriching environment where children can thrive.”

You can **trust that every measure is taken to ensure your child’s safety** every day they are with us.”

— Jeff Warr, CEO
Big Blue Marble Academy

“We’re dedicated to creating a safe place for your child to learn and grow while in our care. Thank you for entrusting us with your young learner!”



BBMA’s Commitment to Safety

At Big Blue Marble Academy, ensuring your child’s safety and well being is our top priority. We’ve implemented comprehensive safety measures, including thorough background checks for our staff, controlled facility access, and check-in systems, to create a safe and nurturing environment for our students and provide peace of mind for parents.

Our classrooms are thoughtfully designed for safe exploration so children can learn and grow confidently, and through open communication policies, parents are informed of any and all health and safety updates.

As a licensed childcare provider, we meet and often exceed industry safety standards, conducting frequent headcounts, emergency drills, cleaning, and sanitizing high-touch surfaces. We also adhere to strict hand-washing protocols and follow stringent health guidelines to keep our community healthy.

We’re dedicated to creating a safe place for your child to learn and grow while in our care. Thank you for entrusting us with your young learner!



Under the Magic Pine Tree - Commitment to Safety

The screenshot shows the website's navigation bar with language options (English, Español), a Locations dropdown, and buttons for 'WE'RE HIRING!' and 'INQUIRE NOW'. The main menu includes Home, Programs, About, Careers, Locations, Parent Forms, and Contact Us. The 'Health & Safety' section features six key services:

- OBSERVED HEALTH PROTOCOLS
- REGULAR DEEP CLEANING
- TOUCHLESS CHECK-IN
- FENCED-IN PLAYGROUNDS
- RESTRICTED-ACCESS ENTRY
- DESIGNATED DROP-OFF ZONES

The image shows a young child with blonde hair wearing a blue hard hat. The text 'Your child's SAFETY' is written in large, stylized letters at the top. Below the child, the text 'and security are our top priorities.' is displayed. The Under the Magic Pine Tree logo is visible in the bottom left corner.

"Your child's safety and security are our top priorities at Under the Magic Pine Tree.

From the moment you drop them off to the moment you pick them up, you can rest assured that they're in good hands." 🤝



Walt Disney Company – Safety Compliance

“It Begins With Me”



SAFETY BASICS

At Walt Disney Parks and Resorts, **safety is a part of everything we do**. In fact, our commitment to safety is as much a part of our culture as our dedication to making dreams come true for our Guests.

Safety is the responsibility of everyone, from the chairman of the board to the newest Cast Member.

Walt Disney listed The Four Keys in a specific order:

Safety, Courtesy, Show, Efficiency.

This reminds us we can only deliver on Courtesy, Show and Efficiency by doing it safely.

There are three Safety Basics:

I practice safe behaviors in everything I do.

I take action to always put safety first.

I speak up to ensure the safety of others.

I practice safe behaviors in everything I do.

- Onstage and off, make safe choices, be aware of surroundings, and know policies and procedures.
- When not at work, continue making safe choices, bring safety home and practice safe behaviors at home.
- Everyone is responsible for safety – and our safety depends upon our individual choices and actions.

I take action to always put safety first.

- It is important to surface any and all safety concerns. Demonstrating the courage to take action could make the difference between someone getting injured or not.
- Do not compromise safety for something else.
- Regardless of where you are, it's important to take action and communicate safety concerns and potential hazards.

I speak up to ensure the safety of others.

- It takes time and courage to speak up – but it is everyone's responsibility. When we don't speak up, we run the risk of injuring ourselves or someone else.
- Even after you've told someone about an unsafe situation, don't leave the area until the hazard has been marked or cleared.
- Fundamentally, safety must be a personal value, genuine in delivery and founded in care for the safety of other people.
- Whether it's noticing a spill that needs to be cleaned, items that may be blocking an exit or a safety hazard that needs the attention of a leader, we all have an obligation to speak up.

“Safety is a part of our culture as much as making dreams come true for our guests.”

Early Educator Safety Pledge – Free Download

Free Download Safety Pledge Template

Enter your info to get access to a customizable Safety Pledge Template in Canva from The Compliance Alliance!

Submit below and click the option to use this template in a new design!

First Name

First Name

Last Name

Last Name

Email

Email



Get It Now!



EARLY EDUCATOR
SAFETY PLEDGE

SUPERVISE | PROTECT | COMMIT

As an early childhood educator, I understand that the safety and well-being of the children in my care is my highest responsibility

By signing this pledge, I commit to create a secure, nurturing, and compliant environment every day.

- Supervise** – I will ensure active supervision, maintaining a clear line of sight of children at all times
- Protect** – I will follow all safety protocols, report concerns, and act swiftly to prevent harm
- Commit** – I will uphold the highest standards of care, continuously improve my safety knowledge, and lead by example.

By signing this pledge, I reaffirm my dedication to ensuring a safe space where every child can learn, grow, and thrive.

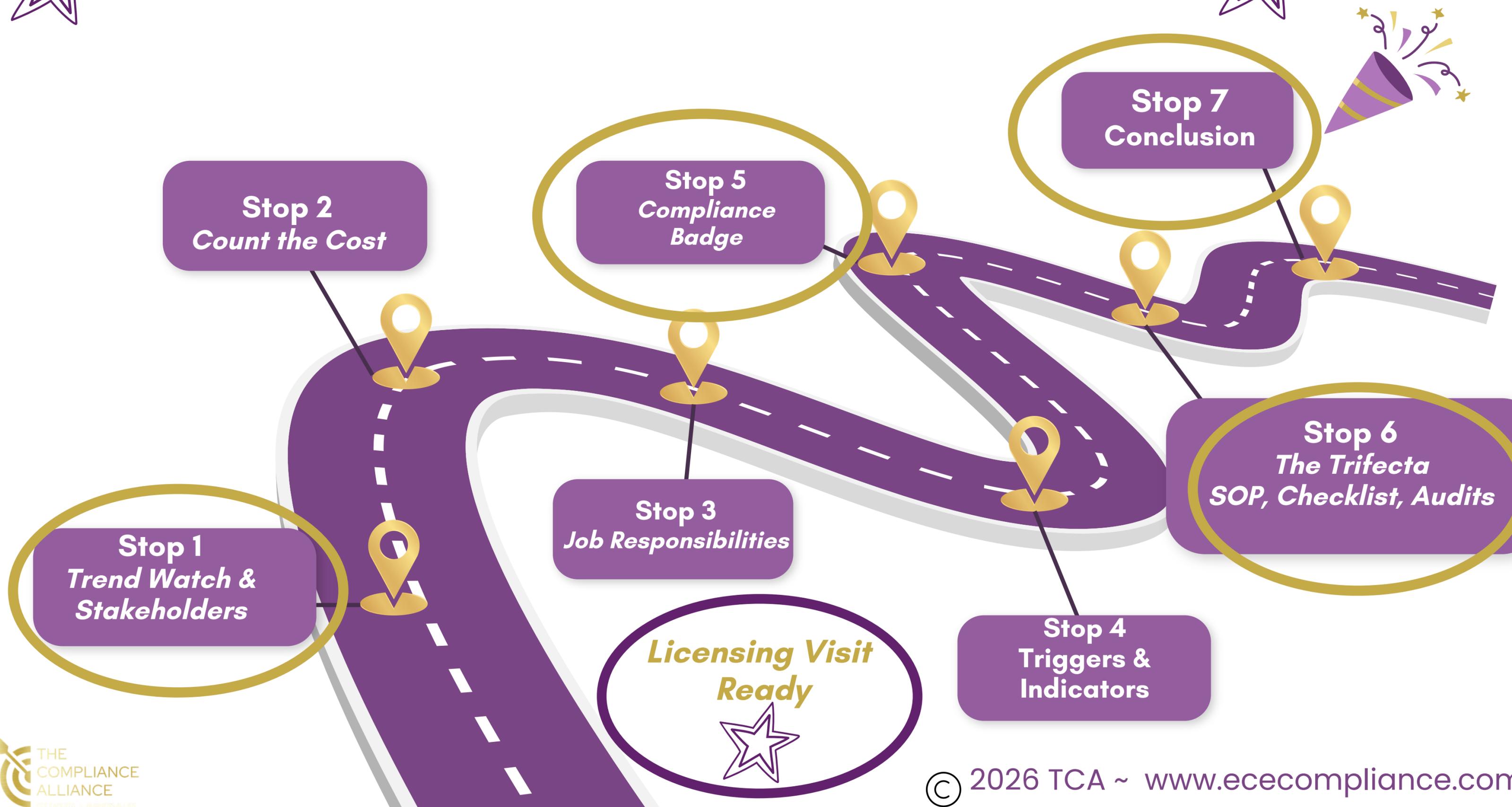
NAME

DATE

 THE COMPLIANCE ALLIANCE
ECE EXPERTS | BUSINESS ALLIES



Special Stop - Licensing Inspection!





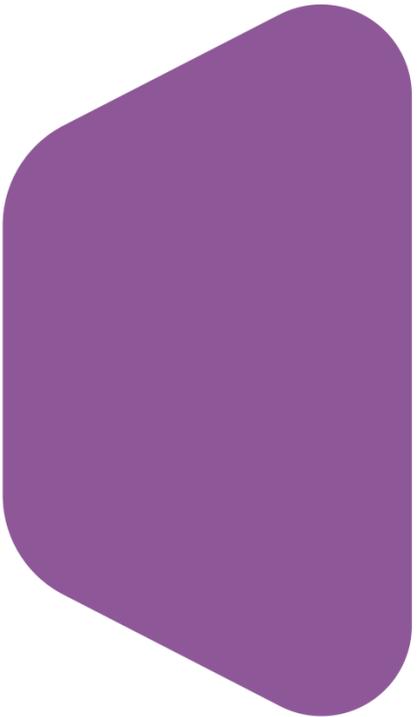
Poll

Audits & Mock Inspections

How often do you complete mock audits or and/or licensing inspections?

- weekly**
- monthly**
- quarterly**
- we aren't conducting routine mock inspections (but want to)**

Knock, Knock - Licensing is here - *Unannounced Visits!*



<https://ececompliance.com/licensing-visit-sound-familiar-with-ronnae-williams-of-culturally-yours/>

Building Confidence BEFORE Your Licensing Inspection

Mock State Inspection ~ Walk Throughs

- A walk-through of your facility that mirrors/mimics a state inspection
- Identifies possible violations/deficiencies/ issues BEFORE licensing arrives
 - Knowledgeable of past issues
- Helps staff prepare for inspection day
 - Reduces Stress

Completing Mock State Inspections

Who should do them?

- Owner/ Director/ A Hired Consultant
 - requires someone knowledgeable of the rules
- Designated Staff
 - Compliance/ Health and Safety Coordinator
- Shadowing
- Rotating Staff

Unbiased review of classrooms and facility

***State Compliance affects Work Place CULTURE,
compliance is a TEAM effort, NOT a solo project.***



What is included in a Mock Inspection?

Facility Walk Through-Inside

- Search for hazards
 - Hazards, Unlocked Cabinet
- Ratios
- Various times of the day

Facility Walk Through-Outside

- Search for hazards
 - broken equipment, biting stinging insects
- Ratios/Supervision

Review of Files

- Staff Records
 - Training
- Children Records
 - Only Required forms/doc
- Transportation/Field Trip Forms

Follow Up

- Review of items previously cited/reviewed
- Provide training as needed

Conducting The Mock Inspection

- Should be done *Regularly*
 - Monthly/Bi Monthly
 - Varies based on size of program
 - Violations found
- Unannounced to Staff
- Document observations/occurrences



What to look for during a Mock Licensing Inspection



Health and Safety

Are staff using safe practices?
Handwashing, diaper changing
procedures, is the classroom
“clean”?



Accessible Hazards

Are materials age appropriate?
In good repair? Cabinets
Locked? Labeled?



Supervision/ Ratios

Are staff “actively” watching
children? How many children
are present with staff? Are there
any barriers prohibiting staffs
ability to see children?

Supervision vs Ratios

Supervision

- **active, intentional, and ongoing observation of children in care.**
- **requires being close enough to see, hear, and respond to children's needs immediately.**

Ratios

- **required number of adults supervising a specific number of children, as determined by licensing rules.**

What to look for Continued...

Staff and Children's File

- Files should be completed during initial encounter
 - No blanks
 - Reviewed regularly after enrolled
 - Organized for review
- **Reviewed by someone who did not complete them



Staff Files

- Files should be separated
(State Required Forms vs HR forms)
- State File
 - varies from state to state
- HR Files
 - Performance reviews
 - Professionalism/ Day to Day Incidents
- Evidence/Documentation of Training





Children Files – Documentation Accident/ Incidents

- Should occur for injuries/ behavior issues/ behavior changes/ parents notified
- Should include who? what? where? when? how?
- A separate copy provided to family and signed for acknowledgement
 - only contains basic description of the incident

What to look for Continued...

Transportation/ Field Trip Documentation

- All files should be complete prior to transporting
 - No blanks
 - Reviewed regularly while enrolled
- Ensure Vehicle is checked
 - Ensure restraints are in good repair
- Ensure NO CHILD is left behind

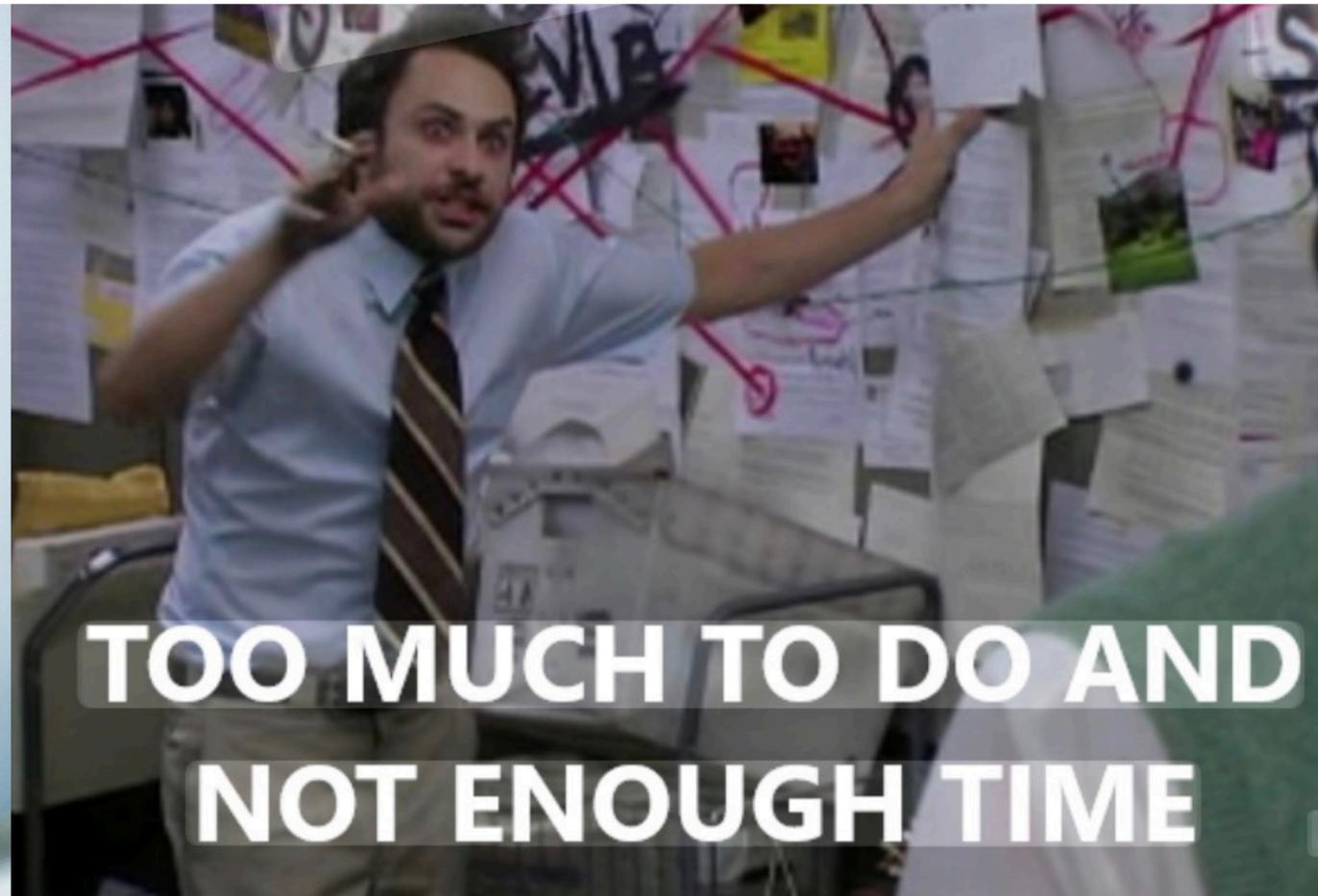




Medication Forms

- Ensure you have authorization to dispense
- Ensure medication is stored in a locked cabinet/inaccessible
- Ensure medication is in a labeled container
 - also includes the child's name
- Ensure medication is not expired
- Age appropriate for child

Erasing the Excuse: *"We don't have time!"*



You don't have time NOT to do them.

**“If you don’t have
time to do it right,
when will you have
time to do it over?”
— John Wooden**



Time to share the inspection findings

1

Discuss areas of concern with leadership team.

2

Discuss the violations/areas of concern with your staff.

3

Discuss findings and create a Plan of Improvement with team

Coaching session is NOT Punishment!

See something Say something



Compliance Roadmap



Compliance Framework ≠ Tools

A compliance framework is a repeatable system that translates rules into daily behavior and **corrects risk** before harm occurs.

It defines how decisions are made when the rules aren't perfectly clear.

The Framework (The Thinking)

- Sets how risk is evaluated
- Creates shared judgment standards
- Remains stable across people, sites, and time

The Tools (The Doing)

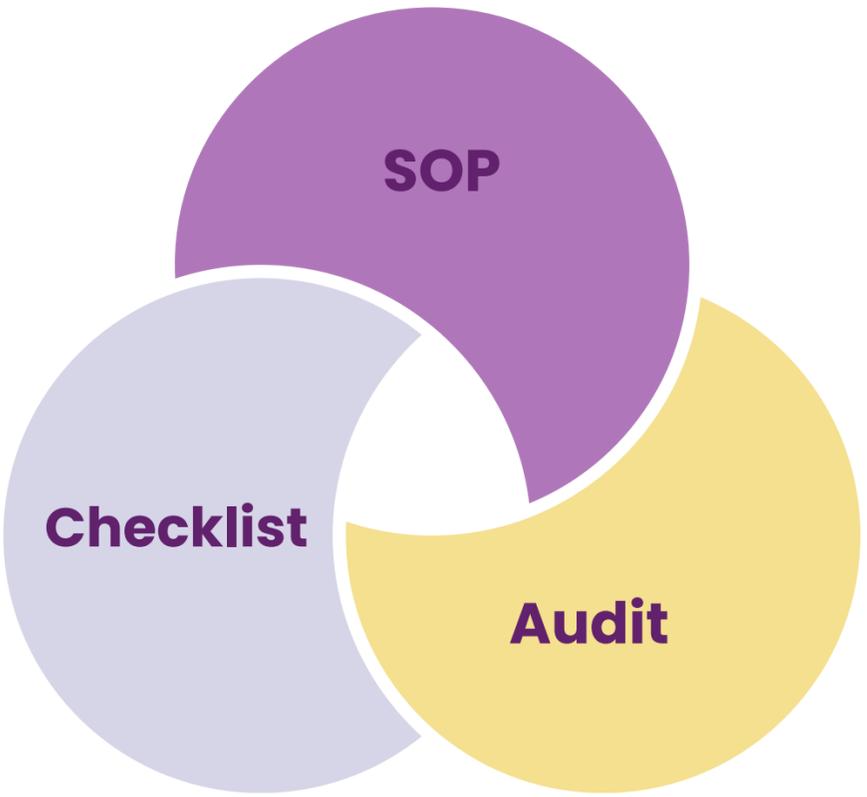
- Checklists
- SOP
- Audits
- Dashboards



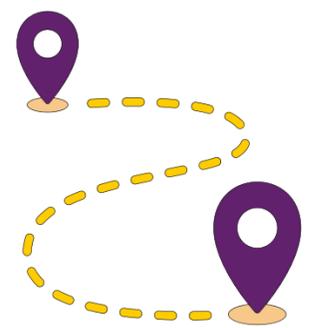
Tools execute the framework – they don't replace it.

Compliance Framework Structure

- + **SOPs** – Define Expectation (Structure)
- + **Checklists** – Document Daily Behavior (Tools)
- + **Audits** – Identify Risk & Enforce Accountability (Oversight)



The Compliance Trifecta



KPI for Continuous Improvement

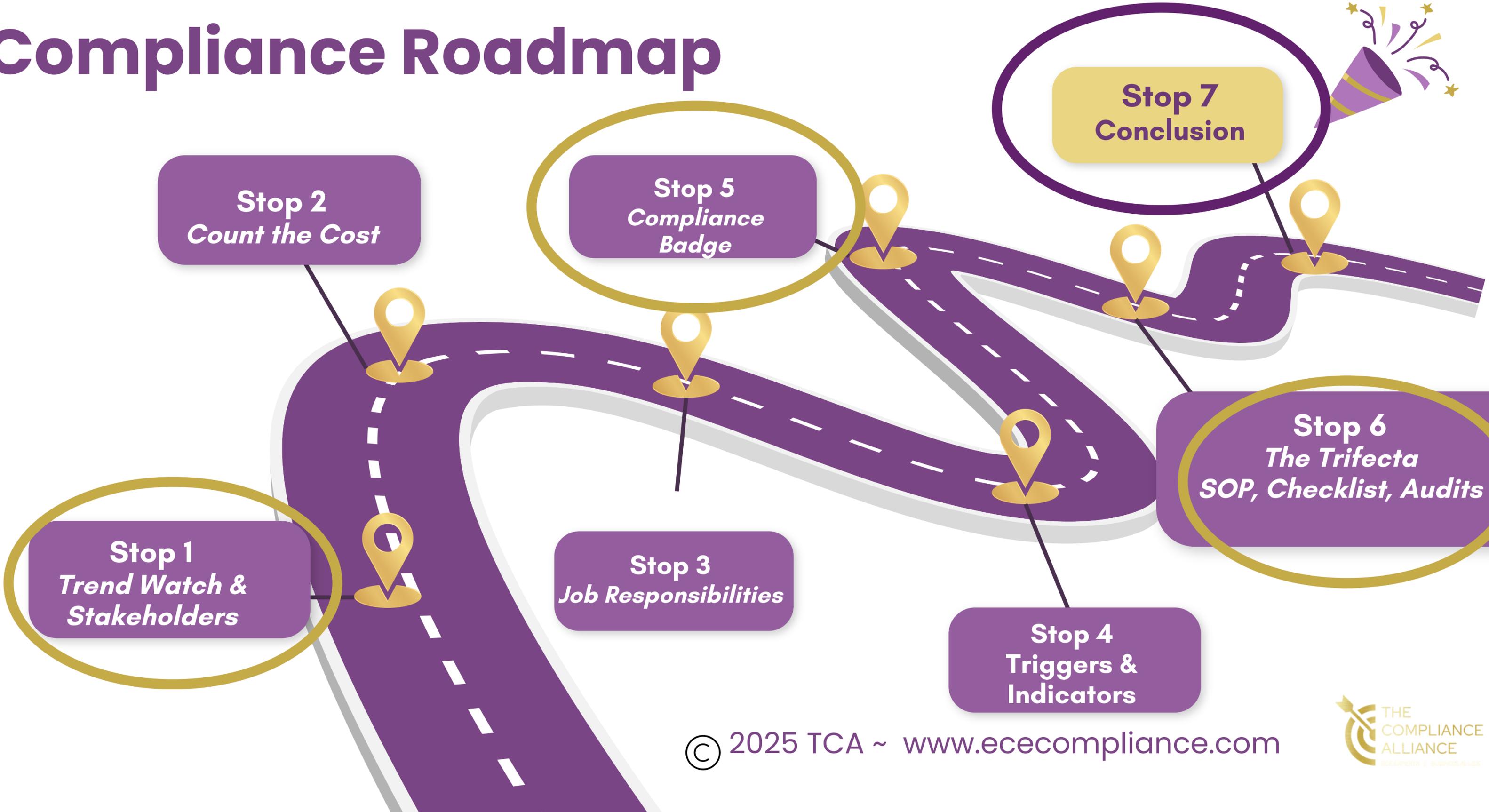
Compliance Audits & Checklist – TCA Audit Library

Daily Supervision 14	Playground Assessment 30
Classroom Health & Safety 30	Building Postings 12
Staff Files 12	Building Assessment – Exterior 13
Child Files 10	Building Assessment – Interior 13
Medication Management 7	Licensing Binder/Documentation 9
Red Flag School/Corrective Action 13–20 x 4 weeks	Emergency Preparedness 12

The Power of A Score

Date:		
Industry Average Risk Score	Topic	Level of Risk Assessment Instructions:
<p>1 = low risk deficiency 2 = medium risk deficiency 3 = high risk deficiency</p> <p>*Risk level (1, 2, or 3) has been pre-determined by TCA</p>		<p>Option 1: Select "0 – No Deficiency" if the topic has been evaluated and no deficiencies are identified.</p> <p>Option 2: Select "1, 2, or 3 – Deficiency Present" if the topic has been evaluated and a deficiency is present. The specific risk level (1, 2, or 3) has been pre-determined by TCA.</p> <p>Please note: The dropdown menu provides only these two options to ensure consistency in data entry.</p>
1	Surfaces around playground equipment have adequate amount of wood chips, mulch, sand, pea gravel, or have mats made of safety-tested rubber or rubber-like materials	0 ▼
2	Protective surfacing extends at least 6 feet in all directions from play equipment. Slide exits are clear from all equipment / objects.	0 ▼
3	Play equipment more than 30 inches high are	0 ▼

Compliance Roadmap



Step 1
Trend Watch & Stakeholders

Step 2
Count the Cost

Step 3
Job Responsibilities

Step 5
Compliance Badge

Step 4
Triggers & Indicators

Step 6
*The Trifecta
SOP, Checklist, Audits*

Step 7
Conclusion

Poll

Actionable Takeaways Best Practice vs Best Intention

What is your #1 takeaway you wish to implement - specific, actionable, measurable

- Revisit my compliance related SOP manual - compare and identify gaps*
- Conduct routine, documented mock visit or audit - document it*
- Review website compliance messaging*
- Adopt a school-wide safety pledge*



Remember:
Trust Grows Where Proof Shows



THE COMPLIANCE ALLIANCE

ECE EXPERTS || BUSINESS ALLIES

Library of Downloadable Assets

Free Tools



www.ececompliance.com

[Navigate : Resources >](#)

[Blog & Recordings>](#)

[Guides](#)

Who is Lynn?



My story – Foundation of Systems, Process, Tools

- Career Mom, 2 girls, Wife
- C-suite leader for 2 International Software Startups
- Owner/Operator x 2

ECE Adopted Me – 2018 my “Gotchya Date”

- 160 school project
- Global Expansion
- System and Process Project Architect

The Compliance Alliance – Founded/Soft Launch 2023

- Compliance resource hub & professional services partner for ECE providers
- First ever ECE Compliance Risk Audit System including 80+ SOP to support compliance operations

About Me

Hi! My name is Ronnae Williams, also known as **The State Lady**, your go-to expert in the Early Childhood Education. With over 15 years of experience in child care, licensing, and compliance, I've dedicated my career to helping childcare facilities THRIVE.

My background includes:

- Bachelors of Science in Child and Family Development
- Masters in Business Administration, with an emphasis in Management.
- Lead GA Pre-K teacher
- Child Care Center Management
- State Child Care Licensing Consultant
- Regional Manager and Marketing Project Manager for a nationally recognized child care franchise
- Strategic Partnership Sales Manager and so much more...

My experiences within the early childhood industry along with my education, has allowed me to support hundreds of child care facilities across the U.S. with licensing compliance, local accreditation, licensing investigations assistance, support with civil actions, franchising, and so much more.



Who is
Ronnae?